

03/08/01 31031 U.S. PTO

03-09-01

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Please type a plus sign (+) inside this box ☐ Approved for use through 10/31/2002 OMB 0651-0032
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PTO/SB/05 (08-00)
JC972 U.S. PTO
09/802250
03/08/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 04807000006
First Inventor Cloonan, Thomas J.
Title Method & Apparatus for Controlling Traffic Loading on a Cable Modem Termination System
Express Mail Label No. EL754010447US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 15]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
- Oath or Declaration [Total Pages 3]
 - ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information, Examiner _____ Group I Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

23418

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Christopher P. Moreno

Registration No. (Attorney/Agent)

38,566

Signature

Christopher P. Moreno

Date 3/8/01

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

\$750.00

Complete if Known

Application Number
Filing Date
First Named Inventor Cloonan, Thomas J.
Examiner Name
Group Art Unit
Attorney Docket No. 04807000006

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number 22-0259

Deposit Account Name Vedder Price Kaufman & Kammholz

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee
106 320 206 160 Design filing fee
107 490 207 245 Plant filing fee
108 710 208 355 Reissue filing fee
114 150 214 75 Provisional filing fee

Fee Paid

\$710.00

SUBTOTAL (1) (\$) 710.00

2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid
Total Claims 16 -20** = 0 x 0 = 0
Independent Claims 2 -3** = 0 x 0 = 0
Multiple Dependent 0 = 0

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20
102 80 202 40 Independent claims in excess of 3
104 270 204 135 Multiple dependent claim, if not paid
109 80 209 40 ** Reissue independent claims over original patent
110 18 210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$) Code (\$)

105 130 205 65 Surcharge - late filing fee or oath
127 50 227 25 Surcharge - late provisional filing fee or cover sheet
139 130 139 130 Non-English specification
147 2,520 147 2,520 For filing a request for ex parte reexamination
112 920* 112 920* Requesting publication of SIR prior to Examiner action
113 1,840* 113 1,840* Requesting publication of SIR after Examiner action
115 110 215 55 Extension for reply within first month
116 390 216 195 Extension for reply within second month
117 890 217 445 Extension for reply within third month
118 1,390 218 695 Extension for reply within fourth month
128 1,890 228 945 Extension for reply within fifth month
119 310 219 155 Notice of Appeal
120 310 220 155 Filing a brief in support of an appeal
121 270 221 135 Request for oral hearing
138 1,510 138 1,510 Petition to institute a public use proceeding
140 110 240 55 Petition to revive - unavoidable
141 1,240 241 620 Petition to revive - unintentional
142 1,240 242 620 Utility issue fee (or reissue)
143 440 243 220 Design issue fee
144 600 244 300 Plant issue fee
122 130 122 130 Petitions to the Commissioner
123 50 123 50 Petitions related to provisional applications
126 240 126 240 Submission of Information Disclosure Stmt
581 40 581 40 Recording each patent assignment per property (times number of properties)
146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))
149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))
179 710 279 355 Request for Continued Examination (RCE)
169 900 169 900 Request for expedited examination of a design application

Fee Paid

40.00

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00

SUBMITTED BY

Name (Print/Type) Christopher P. Moreno Registration No. 38,566 Telephone 312-609-7797
Signature Christopher P. Moreno (Attorney/Agent) Date 3/8/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Cloonan et al.
Serial No.: na
Filing Date: na
Title: Method and Apparatus for Controlling Traffic Loading on a Cable
Modem Termination System

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" Label Number: EL754010447US

Date of Deposit: March 8, 2001

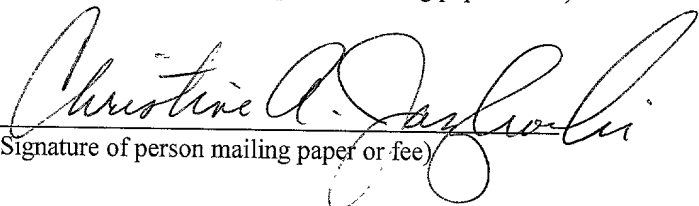
I hereby certify that the following attached paper and fee

New Patent Application (15 pages); 3 sheets drawings; Utility Patent Application Transmittal; Fee Transmittal and duplicate; Declaration and Power of Attorney; Assignment and Recordation Form Cover Sheet; check in the amount of \$750.00; return postcard;

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

Christine A. Jazzkowski

(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)